



NEW YORK
REGIONAL OFFICE

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
100 PEARL STREET, SUITE 20-100
NEW YORK, NY 10004-2616

Via ECF

September 9, 2025

The Honorable William H. Orrick
San Francisco Courthouse, Courtroom 2 – 17th Floor
450 Golden Gate Avenue, San Francisco, CA 94102

Re: *SEC v. Swanberg*, 3:22-cv-04859-WHO

Dear Judge Orrick:

The parties in this case, Plaintiff Securities and Exchange Commission (“SEC”) and Defendant Dale Swanberg (“Swanberg”) have reached a resolution in principle that would completely resolve this litigation, subject to review and approval by the Commission. To allow the parties time to finalize the paperwork for the resolution, and for the Commission to then consider and determine whether to approve it, the parties jointly request that: (1) all pending dates in this litigation be indefinitely stayed, and (2) if the parties have not filed the paperwork reflecting the resolution with the Court by November 10, 2025, the parties file a joint status report on that date updating the Court on the finalization of the resolution and proposed future deadlines.

Respectfully Submitted,

/s/ Laura E. Meehan
Laura E. Meehan
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100 Pearl Street
New York, NY 10004
Counsel for Plaintiff

/s/ William Michael, Jr.
William Michael, Jr.
Greenberg Traurig LLP
Counsel for Defendant



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LOCAL RULE 5-1(h)(3) ATTESTATION

Pursuant to L.R. 5-1(h)(3), I, Laura E. Meehan, attest that all signatories identified above, and on whose behalf the filing is submitted, concur in the filing's content and have authorized the filing.

/s/ Laura E. Meehan

Laura E. Meehan